Please find below and/or attached an Office communication concerning this application or proceeding.

-- The MAILING DATE of this communication appears on the cover she t with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>03</u> MONTH(S) FROM
THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed
  after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any
  earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on <u>09 September 2003</u>.

2a)☒ This action is **FINAL.**   2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is
closed in accordance with the practice under *Ex parte Quayle,* 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-15* is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-15* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. §§ 119 and 120

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____ .

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage
application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

13)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application)
since a specific reference was included in the first sentence of the specification or in an Application Data Sheet.
37 CFR 1.78.

    a) ☐ The translation of the foreign language provisional application has been received.

14)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121 since a specific
reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)

2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ .

4) ☐ Interview Summary (PTO-413) Paper No(s). _____ .

5) ☐ Notice of Informal Patent Application (PTO-152)

6) ☐ Other: .

DETAILED ACTION

1.   This Office Action is in response to the communication received on 09

September 2003.

2.   Claims 1-15 are presented for examination.

Claim Rejections - 35 USC § 102

3.   The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102(e)

that form the basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

4.   Claims 1-15 are rejected under 35 U.S.C. 102(e) as being anticipated by **Hughes**

et al. (patent no. **US 6,065,055**).

5.   As to claim 1, Hughes teaches the invention as claimed, including a method of

automatic information filtering for identifying inappropriate information among various

information provided through Internet and blocking presentation of identified

inappropriate information, comprising the steps of:

        entering an HTML (HyperText Markup Language) information provided through

the Internet (Hughes, Abstract, col. 2, lines 30-51);

        judging whether a URL (Uniform Resource Locator) of said HTML information

entered from the Internet is a top page URL or not, the top page URL being a URL

ending with a prescribed character string defined according to a URL hierarchical

structure by which each URL is constructed (Hughes, Fig. 18, col. 2, line 30 – col.5, line 21; col. 8, lines 44-50);

extracting words appearing in information indicated by the top page URL and carrying out an automatic filtering to judge whether said information indicated by the top page URL is inappropriate or not according to the words extracted from said information indicated by the top page URL, when said URL of said HTML information is the top page URL (Hughes, Fig. 18; col. 4, lines 50-67);

registering an upper level URL derived from the top page URL into an inappropriate upper level URL list (filter list) and blocking presentation of said information indicated by the top page URL, when said information indicated by the top page URL is judged as inappropriate by the automatic filtering, the upper level URL being derived from the top page URL by keeping a character string constituting the top page URL only up to a rightmost slash (Hughes, Figs. 16-18; col. 8, lines 17-50);

comparing said URL of said HTML information with each URL registered in the inappropriate upper level URL list and judging whether there is any matching URL in the inappropriate upper level URL list when said URL of said HTML information is not the top page URL, and blocking presentation of information indicated by said URL of said HTML information when there is a matching URL in the inappropriate upper level URL list, the matching URL being one upper level URL whose character string is contained in said URL of said HTML information (col. 10, line 40 – col. 11, line 27);

extracting words appearing in said information indicated by said URL of said HTML information, and carrying out the automatic filtering to judge whether said

information indicated by said URL of said HTML information is inappropriate or not

according to the words extracted from said information indicated by said URL of said

HTML information, when there is no matching URL in the inappropriate upper level URL

list (Hughes, cols. 4-5; lines 50-21); and

blocking presentation of said information indicated by said URL of said HTML

information when said information indicated by said URL of said HTML information is

judged as inappropriate by the automatic filtering (Hughes, col. 8, line 8 – col. 9, line 34;

col. 10, line 40 – col. 11, line 64).

6.   As to claim 2, Hughes teaches, further comprising the steps of registering in

advance URLs that provide inappropriate information in an inappropriate URL list

(Hughes, Fig. 18); and

carrying out a third part rating based filtering for comparing said URL of said

HTML information with each URL registered in the inappropriate URL list and judging

whether there is any matching URL in the inappropriate URL list, and blocking

presentation of said information indicated by said URL of said HTML information when

there is a matching URL in the inappropriate URL list (Hughes, Figs. 1-23; col. 8, line 8

–col. 9, line 34; col. 10, line 40 – col. 11, line 64).

7.   Claim 3 recites an apparatus corresponding to the method of operations of claim

1. The apparatus claim is read in that it is simply follows the logical implementation of

the method of operations indicated in the referenced claims to perform each of logical

steps of controlling inappropriate material access in internet access that results from the

reference discussed above regarding the claim to the method of operations. Thus, the

apparatus described in claim 3 would have been obvious in view of the elements

provided in the reference, which correspond to the steps in the method of operations for

the same reasons discussed above regarding claim 1.

8.   Claim 4 is corresponding apparatus claim of claim 2; therefore, it is rejected

under the same rationale.

9.   Claim 5 is corresponding computer readable medium claim of claim 1; therefore,

it is rejected under the same rationale.

10.   Claim 6 is corresponding computer readable medium claim of claim 2; therefore,

it is rejected under the same rationale.

11.   As to claim 7, Hughes teaches a method of automatic information filtering for

identifying inappropriate information among various information provided through

Internet and blocking presentation of identified inappropriate information, comprising the

steps of:

        obtaining word weights of words to be used in judging whether presentation of

each information should be blocked or not according to words contained in each

information, by an automatic learning using learning data containing inappropriate

information whose presentation should be blocked and appropriate information whose

presentation should not be blocked (Hughes, the method and system explained in Figs.

1-23 operates in conjunction with a filter list. According to another embodiment, the

present invention comprises a method and system of creating a filter list, col. 11, lines

20-64);

storing and managing the word weights in correspondence to respective words in

a form of a weighted word list (filter list) (Hughes, Figs. 24-25; items 244, 254; col. 11,

line 28 – col. 12, line 17);

extracting words contained in information entered from the Internet (Hughes, col.

4, lines 50-67); and

reading out the word weight for each word extracted from said information, from

the weighted word list, calculating a total sum of the word weights of the words

extracted from said information, and judging whether or not presentation of said

information should be blocked or not according to the total sum (Hughes, Fig. 18; col.

10, line 40 – col. 11, line 27).

12.   As to claim 8, Hughes teaches, wherein the automatic learning is based on a

linear discrimination function that can discriminate the inappropriate information and the

appropriate information on a vector space (Hughes, col. 4, line 50 – col. 5, line 21; col.

10, line 40 – col. 11, line 54).

13.   Claim 9 is corresponding method claim of claim 2; therefore, it is rejected under

the same rationale.

14.   Claim 10 recites an apparatus corresponding to the method of operations of

claim 7. The apparatus claim is anticipated in that it is simply follows the logical

implementation of the method of operations indicated in the referenced claims to

perform each of logical steps of controlling inappropriate material access in internet

access that results from the reference discussed above regarding the claim to the

method of operations. Thus, the apparatus described in claim 10 would have been read

in view of the elements provided in the reference, which correspond to the steps in the

method of operations for the same reasons discussed above regarding claim 7.

15.   Claims 11-12 are corresponding apparatus claims of claims 8-9; therefore, they

are rejected under the same rationale.

16.   Claims 13-15 are corresponding computer readable medium claims of claims 7-

9; therefore, they are rejected under the same rationale.

Response to Arguments

17.   Applicant's arguments filed on 09 September 2003 have been fully considered

but they are not persuasive.

18.   In the remark, Applicant argued in substance that

(A)   The prior art fails to disclose "*any teaching for the use of upper level URL*

derived from the top page URLs indicating inappropriate information, or *the use of the*

automatic filtering based on words extracted from the information (page) indicated by

the URL" in claims 1, 3, 5, 7, 10, 13.

As to the point (A), Hughes teaches that "the final method of managing

inappropriate material is "Content Filtering". This involves *scanning the actual material*

(not the URL) inbound to a network from the Internet. Words lists and phrase pattern

matching techniques are used to determine if the material is inappropriate or not. This

process requires a great deal of computer processor time and power, slowing down

Internet access and also making this is very expensive alternative." (Hughes, col. 2,

lines 17-26).

Therefore, it would have been obvious to one of ordinary skill in the networking art to conclude that "the use of automatic filtering based on words extracted from the information (page) indicated by the URL" is well known feature in the networking art. As a matter of facts, **Russell-Falla** et al. (US patent no. **6,266,664 B1**) discloses that the present invention is enabling parents or guardians to exercise some control over the web page content displayed to their children, providing for automatic screening of web pages or other digital content, providing for automatic blocking of web pages that likely include pornographic or other offensive content, characterizing a specific category of information content by example, and then *to efficiently and accurately identify instances of that category within a real-time datastream, and to support filtering, classifying, tracking, and other applications based on real-time identification of instances of particular categories of content with or without displaying that content* (Russell-Falla, col. 2, line 39 – col. 4, line 23).

Secondly, it would have been obvious to one of ordinary skill in the networking art to conclude that "the use of the upper level URL derived from the top page URLs indicating inappropriate information" is also well known feature in the networking art. As a matte of facts, **Humes** (US patent no. **5,996,011**) discloses that "the request is sequentially *filtered at three different levels*, if necessary. First, the URL requested is filtered to determine if the web page associated with that URL has been pre-approved or pre-denied. If the URL has not been pre-approved or pre-denied, the header of the web page is then filtered to determine if the web page contains text data (such as HTML). If so, the body of the web page is filtered. *While the filter will decide whether or*

not to block access to the entire web page based on the URL, depending on its

processing of the body of the web page, the filter may deny access completely to the

web page, deny access to certain portions of the web page (i.e., filter some

objectionable words), or allow complete access to the web page. (Humes, col. 2, line 30

– col. 4, line 27).

Prior Art Of Record

19.   The prior art made of record and relied upon is considered pertinent to

applicant's disclosure.

Klensin et al. (US patent no. 6,564,327 B1), Moshfeghi (US patent no. 6,476,833

B1), Russell-Falla et al. (US patent no. 6,266,664 B1), Humes (US patent no.

5,996,011) are related networking art for implementing controlling internet access and

the content access control.

20.   Further references of interest are cited on Form PTO-892, which is an

attachment to this action.

21.   **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time

policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE

MONTHS from the mailing date of this action. In the event a first reply is filed within

TWO MONTHS of the mailing date of this final action and the advisory action is not

mailed until after the end of the THREE-MONTH shortened statutory period, then the

shortened statutory period will expire on the date the advisory action is mailed, and any

extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of

the advisory action. In no event, however, will the statutory period for reply expire later

than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Hai V. Nguyen whose telephone number is 703-306-

0276. The examiner can normally be reached on 8:00-4:30 Mon-Fri.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, David Wiley can be reached on 703-308-5221. The fax phone number for

the organization where this application or proceeding is assigned is 703-872-9306.

Any inquiry of a general nature or relating to the status of this application or

proceeding should be directed to the receptionist whose telephone number is 703-305-

3800/4700.

Any response to this final action should be mailed to:

Box AF

Commissioner of Patents and Trademarks

Washington, D.C. 20131

or faxed to:

(703) 872-9306, (for **formal communications**; please mark
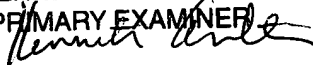
"EXPEDITE PROCEDURE").

or:

(703) 746-7240 (for **informal or draft communications**, please

label "PROPOSED " or "DRAFT").

Or:

(703) 746-7238 (for After Final communications).

Hand-delivered responses should be brought to Crystal Park II, 2121 Crystal

Drive, Arlington, VA. 22202, Sixth Floor (Receptionist).

KENNETH R. COULTER
PRIMARY EXAMINER

Hai V. Nguyen
Examiner
Art Unit 2142